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| FORM PTO-1390 (REV. 10-2003) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER 21146 US (C038435/0178278) | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5 Not yet assigned) 10/505396 | |
| INTERNATIONAL APPLICATION NO. PCT/EP03/01473 | | INTERNATIONAL FILING DATE 14 February 2003 | | PRIORITY DATE CLAIMED 22 February 2002 | |
| TITLE OF INVENTION ENONE REDUCTASE | | | | | |
| APPLICANT(S) FOR DO/EO/US Michihiko KATAOKA and Sakayu SHIMIZU | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input checked="" type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | | |
| Items 11 to 20 below concern document(s) or information included: | | | | | |
| <ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input checked="" type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input checked="" type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825. 18. <input checked="" type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Copy of the International Search Report (5 pp.); Copy of the International Preliminary Examination Report (8 pp.); Certificate of Express Mailing (1 p.); and Return Postcard. | | | | | |

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| U.S. APPLICATION NO. (if known) 37 CFR 1.53 Not yet assigned 107-505396 | | INTERNATIONAL APPLICATION NO. PCT/EP03/01473 | | ATTORNEY'S DOCKET NUMBER 21146 US (C038435/0178278) | |
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| 21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. \$1080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$770.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$730.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | CALCULATIONS PTO USE ONLY | |
| | | | | \$ | 920.00 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ | |
| Total claims | 14 - 20 = | 0 | x \$18.00 | \$ | 0.00 |
| Independent claims | 3 - 3 = | 0 | x \$86.00 | \$ | 0.00 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | | \$ | 0.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ | 920.00 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ | |
| SUBTOTAL = | | | | \$ | 920.00 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | 0.00 |
| TOTAL NATIONAL FEE = | | | | \$ | 920.00 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ | 80.00 |
| TOTAL FEES ENCLOSED = | | | | \$ | 1,000.00 |
| | | | | Amount to be refunded: | \$ |
| | | | | charged: | \$ |

a. ☒ A check in the amount of \$ 1,000.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. 02-4467 in the amount of \$ 1,000.00 to cover the above fees.
 A duplicate copy of this sheet is enclosed.

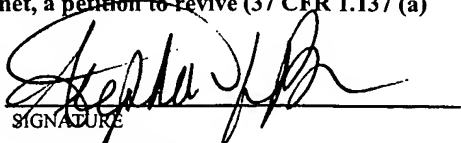
c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
 overpayment to Deposit Account No. 02-4467. A duplicate copy of this sheet is enclosed.

d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card
 information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a)
 or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

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 SIGNATURE
 Stephen J. Brown

 NAME
 43,519

 REGISTRATION NUMBER

10/505396

DT03 PCT/PTO 20 AUG 2004

Docket No. 21146 US C038435/0178278

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE ACTING AS
DESIGNATED/ELECTED OFFICE (DO/EO/US) UNDER THE PATENT COOPERATION
TREATY CONCERNING A FILING UNDER 35 U.S.C. § 371

In re International Application of:)
Michihiko KATAOKA and Sakayu SHIMIZU)
Based on Int'l Application No.: PCT/EP03/01473) Examiner: Not yet assigned
International Filing Date: 14 February 2003) Art Unit: Not yet assigned
Filed: Herewith)
For: ENONE REDUCTASE)

New York, New York
August 20, 2004

CERTIFICATE OF EXPRESS MAILING

"Express Mail" Mailing Label No.: ER 930263861 US
Date of Deposit: August 20, 2004

I hereby certify that the following:

- [x] Certificate of Express Mailing (1 p)
- [x] Transmittal Letter to the United States Designated/Elected Office (DO/EO/US)
Concerning A Filing Under 35 U.S.C. § 371 (2 pp) in duplicate
- [x] Copy of International Application as filed (14 pp)
- [x] Amendments to the Claims of the International Application (2 pp)
- [x] Combined Declaration For Patent And Power of Attorney (3 pp) (executed)
- [x] Information Disclosure Statement with PTO-1449 (5 pp, including duplicate p 3) and
copies of references
- [x] Two (2) Recordation Form Cover Sheets and copies of Assignments (6 pp)
- [x] Preliminary Amendment (9 pp, including duplicate p 1)
- [x] Copy of published international application WO 03/070924 A1 (15 pp)
- [x] Copy of International Search Report (5 pp)
- [x] Copy of International Preliminary Examination Report (8 pp)
- [x] Check for \$1,000.00 (National Filing Fee and Assignment Recordation Fee)
- [x] Return postcard

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the Date of Deposit indicated above in an envelope addressed to Mail Stop PCT, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450.


Marvin Chisholm

Signature of Person Making Deposit

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